



European Institute of
Innovation & Technology

EIT HEI Initiative

Innovation Capacity Building
for Higher Education

Handbook for Cohort 3 Projects

Your companion to planning and delivering
a successful HEI Initiative Project

VERSION 2.0 – JULY 2024



Funded by the
European Union



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A quick guide to the terminology you will find throughout the Handbook

Affiliated Entities	Former 'linked third parties'; these are entities with a legal link to the beneficiaries which implement parts of the action and are allowed to charge costs directly to the grant. They do not become party to the Project (Grant) Agreement, but they are part of the consortium.	Calls	Funding opportunities held by the HEI Initiative that HEIs and non-HEIs can form consortia to apply for.
		Cohorts	Cohorts are the batches of Projects funded by the HEI Initiative. Pilot Cohort 1 are the Projects funded from the Call launched in March 2021. Cohort 2 are the Projects funded from the Call launched in November 2021. Cohort 3 are the Projects funded from the Call launched in November 2022.
Associated Partners	In the context of the HEI Initiative, these are entities which contribute to the implementation of the Project; however, they may not charge costs or contributions to the action, and the costs for their tasks are not eligible. Associated Partners do not become party to the Project (Grant) Agreement (they do not sign it). This notion is different from 'KIC Associated Partners', which are members of a specific Knowledge Innovation Community (KIC).	HEI	Higher Education Institution.
		HEInnovate	This is an initiative of the European Commission in collaboration with the Organisation for Economic Co-operation and Development (OECD) which serves as a free self-assessment tool for HEIs that wish to explore their innovative potential.
Beneficiaries	The terms 'beneficiaries' and 'full Project Partners' are used interchangeably within the HEI Initiative, and implicitly in this Handbook. As signatories of a Project (Grant) Agreement with their allocated EIT KIC, beneficiaries have full responsibility towards the granting authority for implementing the Project (Grant) Agreement and complying with all its obligations. They must implement the Agreement to their best abilities, in good faith, and in accordance with all the obligations and terms and conditions it sets out.	The Initiative	This refers to the EIT's HEI Initiative: Innovation Capacity Building for Higher Education.
		IVAP	Innovation Vision Action Plan. This is a vision for innovation between now and 2030, with a clear, step-by-step Action Plan leading to lasting impact. It forms the basis of the applications that are submitted as proposals to Calls from the HEI Initiative.

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A quick guide to the terminology you will find throughout the Handbook – continued

KIC Partners

Organisations that are partners of one (or several) KICs. The KIC Partners are selected based on their shared mission with the KIC regarding societal challenges. Each Partner (usually) pays an annual membership fee to its KIC. It is very important to put 'KIC' in front of any reference to these Partners to avoid confusion between KIC Partners and Full and Associated Partners within the Projects (see above).

Project Coordinator

The Project Coordinator is the main contact between the consortium and the granting authority, and is responsible for representing the consortium to the granting authority.

Project Officer

The Project Officer is the primary point-of-contact within the allocated KIC for the HEI Initiative Project, and acts as an intermediary between the Project Coordinator and the KIC.

The Projects

The Projects or the EIT HEI Initiative Projects are the successful proposals funded by the EIT HEI Initiative. They are divided into 'Cohorts' (see above).

Transferability Plan

The Transferability Plan outlines how selected activities from the IVAP will be transferred and scaled within a particular institution during the HEI Initiative Project. It provides a detailed plan for further institutionalisation of the IVAP beyond the HEI Initiative Project funding period.

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EIT/Reporting terms

Cross-KIC	A pillar of EIT activities where more than one EIT KIC is formally involved in implementation.	Evaluation	This can have two meanings. Evaluation in the context of Monitoring, Evaluation and Learning (MEL) looks at the overall impact the Projects and the Initiative have. Proposal Evaluation refers to the review by independent evaluators of applications submitted to a Call by consortia.
Deliverables	Additional outputs (e.g. information, special reports, technical diagram brochures, lists, software milestones, or other building blocks of the Project) that must be produced at a given moment during the action. These should be clearly linked to the relevant output(s) (e.g. the agenda or registration list of a summer school).	Grant/ Performance Reporting	Performance and financial reporting submitted by each HEI Project to their allocated EIT KIC. Details on procedure and timing are provided by the relevant KIC.
EIT Core KPI	High value performance and output metrics that are indicated in red font in the EIT Impact Framework .	Milestones	Control points in the Project that help to chart progress. They may correspond to the completion of a key deliverable, allowing the next phase of the work to begin, or be needed at intermediary points.
EIT Key Performance Indicators (KPIs)	Cross-cutting performance and output metrics used to measure the performance of all EIT KICs and their Projects.	Outputs	Tangible or intangible end products directly resulting from the implementation of the Project (e.g. new services). These should directly contribute to the achievement of the Project result (e.g. a summer school programme).

Deliverables and milestones

It may be useful to review the deliverables and milestones (considering the definitions in the glossary) and reflect on the overall number and intention of each. Ideally, there should be between four and eight deliverables and milestones, respectively. These should be focused on key stages of Project implementation.

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The Handbook

Your companion throughout the lifecycle of your HEI Initiative Project

If you are an EIT HEI Initiative Project Coordinator or Work Package (WP) Leader, or a Partner in a Cohort 3 Project, the Handbook is for you. It may also be useful for KIC Project Officers and university administrations.

The Handbook is intended to:

- Guide you through the process of planning Project activities
- Be a source of answers to frequently asked questions
- Signpost you to the templates and resources you need at each Project Phase
- Provide a basis for Kick Off and ongoing meetings with KIC Project Officers

The Handbook is structured to follow the lifecycle of an EIT HEI Cohort 3 Project, from inception, through the reporting phases, and concluding with information about post-HEI funding. It can be navigated chronologically or sporadically via the 'previous', 'next', and 'home' buttons, allowing you to easily refer to different chapters as they become relevant for your Project.

More detailed information on how you are expected to report progress on your Project will be delivered to you via the HEI Initiative Coordination Team and Project Officers as you progress through the Project lifecycle.

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The Project lifecycle: key events

The HEI Initiative Cohort 3 timeline is made up of two phases.



Note: Specific deadlines for all Project review components will be circulated to Project Coordinators in advance.

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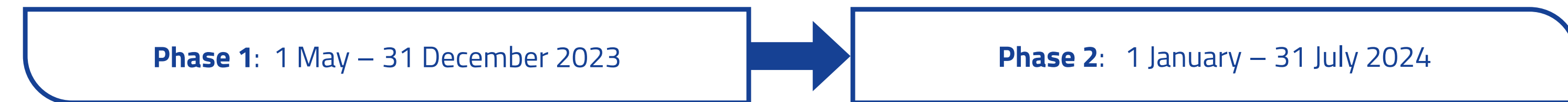
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Your Project phases

The next two chapters are for Project Officers and Project Partners, and will explain the process for implementing your Project, as well as measuring and reporting on its performance.

EIT HEI Initiative Projects are implemented in two phases (covering 15 months):



Phase 1

Phase 1 consists of the first eight months of your Project (May 2023 to December 2023).

Key Milestones

The key milestones in the HEI Project lifecycle during Phase 1 are:

- Individual Project Kick Off meeting: May – June 2023
- Face-to-face IVAP Development Workshop: 31 May – 1 June 2023 (Prague, Czechia)
- Online Co-Creation Workshop: September 2023
- Online KIC Showcase: November – December 2023
- Grant/Performance reporting and submission of Phase 1 results: December 2023 – February 2024

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Individual Project Kick Off Meeting

Your allocated EIT KIC will set up a Kick-Off (KO) Meeting with your Project. We strongly advise that you have your individual KO Meeting as a consortium in the first two months of Project implementation.

The purpose of the KO Meeting is to:

- Introduce your allocated Project Officer to your HEI Project
- Explain the role of the Project Officer and the support they will provide you with
- Explain the Project Implementation Plan to your Project Officer
- Provide an impetus for question/answer and discussion of any potential issues

IVAP Development Workshop

IVAP Development Workshops are offered for each Cohort. For Cohort 3 Projects, the first main Project activity will be to attend an IVAP Development Workshop. This event will be held on 31 May and 1 June 2023 in Prague, Czechia. It will bring together Project Partners from Cohorts 1, 2 and 3, members of the Initiative's Project Management Team from the EIT KICs, and key stakeholders from the EIT and the European Commission.

The IVAP Development Workshop in Prague will act as an Initiative-level KO Meeting for your Project cohort and the EIT KICs. Furthermore, it will help to foster a community of practice among all HEI Projects, both within and between the three cohorts.

The registration form and more detailed information on the IVAP Development Workshop can be found [here](#).

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Phase 1 Online Co-Creation Workshop

There will be two online Co-Creation Workshops over the course of your Project.

The main objectives of Co-Creation Workshops are to:

- Empower you with knowledge and tools that could help to make your Project activities a success
- Strengthen the sustainability of the EIT HEI Initiative community in preparation for future phases
- Share experiences and best practices with the rest of the HEI Projects and the other HEI Project cohorts

The first Co-Creation Workshop will take place online in September 2023. It will create a space to discuss the most pressing issues related to IVAP implementation (both in the short and longer-term), as well as the Deep Tech dimension that feeds into all Cohort 3 Projects.

Co-Creation Workshops are structured around IVAP Domain- and Action-specific modules, and feature a combination of high-level expert roundtables and breakout room discussions.

The Co-Creation Workshop programme puts you at its core, providing multiple opportunities for you to participate in knowledge-transfer, experience-sharing, and lesson-learning. This will help you to identify concrete and practical recommendations that help your Project to successfully implement IVAP Actions.

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KIC Showcase

The KIC Showcase will take place in November/December 2023. It will be an online event (open to public registrations) where KICs mobilise their partners to showcase Projects that demonstrate good practice examples of training and education programmes for innovation and entrepreneurship. These examples will be organised around the five domains mentioned above, and each of the Projects that gives a presentation will have to address at least one domain. The presentations will focus on how best practice innovation and training programmes can be scaled and replicated.

Phase 2

Phase 2 covers the following seven months of implementation of your Project (1 January 2024 – 31 July 2024).

Before continuing to Phase 2, HEI Projects must have satisfactorily completed Phase 1 by meeting specific criteria (see below: [Reporting on Phase 1 of your Project](#)).

Key Milestones

The key milestones in the HEI Project lifecycle during Phase 2 are:

- Online Co-Creation Workshop: February 2024
- A face-to-face Sensemaking Workshop: March 2024
- End-Of-Project Review: July – September 2024 (at the end of the 15-month funding period)

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Phase 2 Online Co-Creation Workshop

The second online Co-Creation Workshop for Cohort 3 Projects will take place in February 2024, and will aim to create a space where EIT HEI Initiative Projects can jointly discuss the most pressing issues they have faced over the last months, learn from one another and build communities. The Phase 2 online Co-Creation Workshop will also provide an opportunity for Projects to exchange ideas for future follow-up funding opportunities. Cohort 2 Projects will be invited to this workshop to share experiences with Cohort 3 Projects.

Sensemaking Workshop

The Sensemaking Workshop will take place in-person in March 2024 as a space to collect, reflect on, and analyse Initiative-level evidence. Sensemaking is part of [EIT's HEI MEL Framework](#), and forms the core link between Project-level evidence (generated through impact monitoring) and the learning that it generates at the Initiative level. It refers to a structured approach for linking data analysis, insights, and synthesis to produce intelligence that enables informed decision-making.

Sensemaking will involve both KICs (through EIT HEI Initiative Project Officers) and Project Partners, and will support the portfolio view of the Initiative by identifying commonalities and synergies across the Initiative. In this way, it will move beyond the silos of each Project to learn from experiences from the Initiative as a whole.

In practical terms, sensemaking is about extracting insights and patterns from Project data and evidence sources. As such, it is central to the delivery of the EIT HEI Initiative for Capacity Building Innovation.

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Project management

Your Project consortium

In terms of Project implementation, entities can participate in various roles: as beneficiaries, coordinators, affiliated entities, associated partners, subcontractors, or recipients of financial support to third parties. Each role is linked to a set of conditions and legal rights and obligations.

Beneficiaries (i.e. full Project partners): As signatories of the Project (Grant) Agreement (GA), the beneficiaries are fully responsible towards the granting authority for implementing the GA and for complying with all its obligations.

One of the beneficiaries is the coordinator of the action. The coordinator monitors that the action is implemented properly, and acts as the intermediary for all communications between the consortium and the granting authority.

The beneficiaries must have internal arrangements regarding their operation and coordination to ensure that the action is implemented properly. It is recommended (but not compulsory) that such internal arrangements are set out in a written **Consortium Agreement** between the beneficiaries.

Each beneficiary is responsible (and answerable to the granting authority) for the tasks performed by its subcontractors and affiliated entities (if any).

Affiliated entities (former 'linked third parties'): These are entities with a legal link to the beneficiaries which implement parts of the action, and are allowed to charge costs directly to the grant. They do not sign or become party to the Project (Grant) Agreement, but they are part of the consortium, and often play an important role. The beneficiary remains responsible towards the granting authority for the work carried out by the affiliated entity.

Associated partners: In the context of the HEI Initiative, these are entities that implement action tasks without receiving EU funding (i.e. they participate but cover their own costs). They do not become party to the Project (Grant) Agreement (do not sign the GA), but they implement important parts of the action and are thus often involved actively in the consortium.

For subcontracting and recipients of financial support to third parties, please see the section on cost eligibility below.

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Your Project (Grant) Agreement

Your Project (Grant) Agreement defines the work that you commit to carrying out during your EU-funded Project. It is based on your successful proposal, and specifies the Project Partners (the ‘beneficiaries’), as well as the Project activities, including the duration, budget, EU contribution, and all rights and obligations.

For each Project, there is a KIC Project Officer who accompanies the consortium throughout the Project implementation. The Project Officer is your main contact point for any matters regarding your Project Agreement and reporting on your Project implementation. All communication with the Project Officer goes through the Project Coordinator.

In some cases, it might be necessary to amend your Project (Grant) Agreement; for example, if changes are needed for successful Project implementation, or if there are changes in your consortium composition. In these cases, the Project Coordinator should inform the Project Officer, who will advise on the exact procedure to follow.

* Disclaimer: It is the Project’s responsibility to check that this information is in line with the latest version of the AGA (considering that from time to time, new versions of the AGA are released).

Cost eligibility

EIT HEI Initiative Projects are part of Horizon Europe. General funding and cost eligibility regulations follow the [Horizon Europe Rules for Participation](#) and are governed by the [Horizon Europe Annotated Model Grant Agreement \(AGA\)*](#).

The funding rate that applies to the HEI Initiative Projects selected for funding is up to 100%.

The grant can only reimburse **eligible costs** (i.e. costs that comply with the general and specific conditions set out in Article 6 of AGA).

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The following budget categories apply to the EIT HEI Initiative Projects:

- Personnel costs
- Subcontracting costs
- Purchase costs
 - ◆ Travel, accommodation and subsistence costs
 - ◆ Equipment costs
 - ◆ Costs of other goods, works and services
- Other cost categories
 - ◆ Financial support to third parties – grants, prizes
 - ◆ Internally invoiced goods and services
- Indirect costs

The budget of the selected HEI Initiative Projects is based on the estimated costs to be incurred by the HEI Project activities. The funding requested must be justified in relation to the planned activities as described in the HEI application. All costs must be fully described, justified and incurred within the Project implementation period. The costs should be reasonable, justified and directly related to the achievement of the objectives of the HEI Initiative and the IVAP.

Please find below the standard example for each cost category. In case you have a situation that differs from the examples listed below, consult the Horizon Europe Annotated Model Grant Agreement (AGA) for guidance. In case you need further support, please contact your assigned EIT KIC Project Officer.

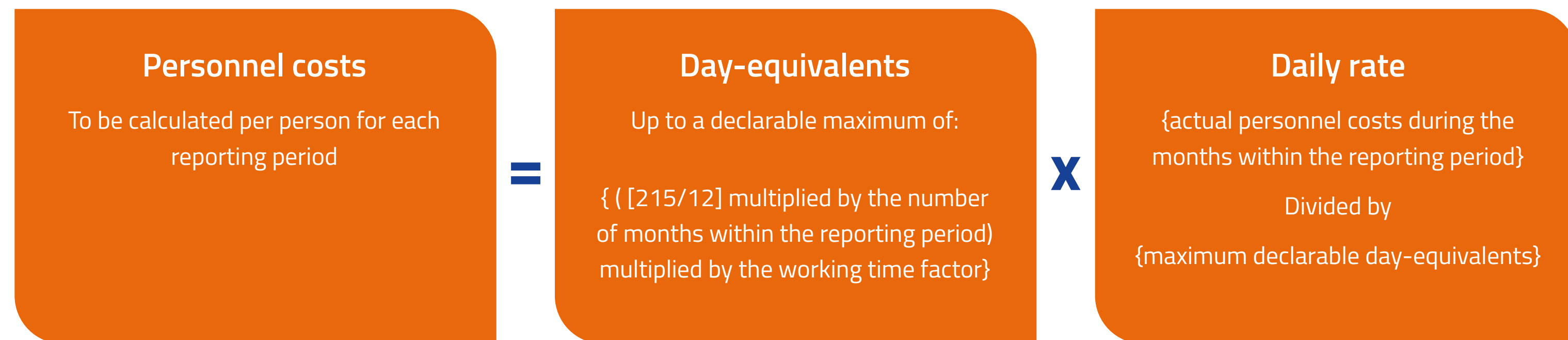
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Personnel costs

Beneficiaries/affiliated entities may charge personnel costs. This budget category covers the following subcategories:

- Costs for employees (or equivalent)
- Costs for natural persons working under a direct contract and for personnel seconded by a third party against payment
- Costs for small- to medium-sized enterprise (SME) owners not receiving a salary and for beneficiaries that are natural persons not receiving a salary

In most cases, you have to calculate your personnel costs for the action as follows:



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Subcontracting costs

Subcontracting costs are eligible if they are calculated on the basis of the costs actually incurred, fulfil the general eligibility conditions, and are awarded using the beneficiary's usual purchasing practices – provided these ensure subcontracts with best value for money (or if appropriate the lowest price), and that there is no conflict of interests (see Article 12 of AGA).

Subcontracts are service contracts for parts of the Project that are not implemented by the beneficiary itself, but by a subcontractor.

Subcontracts are normally wide in scope (implementation of a part of the Project, i.e. action tasks). If a contract covers only individual equipment or consumables, this will be considered as a purchase.

In principle, the beneficiaries can freely choose between best value for money and lowest price. Best value for money applies the general cost eligibility conditions (i.e. that costs must be reasonable and comply with the principle of sound financial management) to the subcontracting context.

A competitive selection of subcontractors should be the default approach, since it is the safest way to ensure no conflict of interest, best value for money, or lowest price through direct comparison between offers.

Beneficiaries that are 'contracting authorities/entities' within the meaning of the EU Directives on public procurement must also comply with the applicable national law on public procurement.

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Subcontracting may cover only a limited part of the action. The tasks to be subcontracted and the estimated cost for each subcontract must be set out in the Project (Grant) Agreement (or may be approved ex post in the periodic report, if the use of subcontracting does not entail changes to the Agreement which would call into question the decision awarding the grant, or breach the principle of equal treatment of applicants). In case of need to include a subcontractor during the Project implementation, please revert to your Project Officer for approval.

Subcontracting between beneficiaries - is NOT allowed in the same grant. All beneficiaries contribute to and are interested in the action; if one beneficiary needs the services of another in order to perform its part of the work, it is the second beneficiary who should declare its own costs for that work.

Subcontracting to affiliates - is NOT allowed, unless they have a framework contract or the affiliate is their usual provider, and the subcontract is priced at market conditions. Otherwise, these affiliates may work in the action, but they must be identified as affiliated entities and declare their own costs.

Coordination tasks of the coordinator (e.g. distribution of funds, review of reports, etc.) CANNOT be subcontracted.

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Purchase costs

This budget category covers travel, accommodation, and subsistence costs; equipment costs; and other goods, works or services, if necessary to implement the action.

To be eligible, these costs must fulfil the general conditions (i.e. incurred/used during the action duration, necessary, linked to the action, etc.). They may be based either on the best value for money, or on the lowest price.

Purchases for **travel, accommodation, and subsistence** must be calculated on the basis of the costs actually incurred, and in line with the beneficiary's usual practices on travel.

Purchases of **equipment, infrastructure or other assets** used for the action must be declared as depreciation costs, calculated on the basis of the costs actually incurred and written off in accordance with international accounting standards and the beneficiary's usual accounting practices. Only the portion of the costs that corresponds to the rate of actual use for the action during its duration can be taken into account.

Costs for renting or leasing equipment, infrastructure or other assets are also eligible if they do not exceed the depreciation costs of similar equipment, infrastructure, or assets, and do not include any financing fees.

Purchases of other goods, works and services must be calculated on the basis of the costs actually incurred. Such goods, works and services include, for instance, consumables and supplies, promotion, dissemination, translations, publications, etc. If it is the beneficiary's usual accounting practice to consider some of these costs (or all of them) as indirect costs, they cannot be declared as direct costs.

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Other cost categories

Financial support to third parties

Financial support to third parties in the form of grants, prizes, or similar forms of support, if they fulfil the general eligibility conditions. The conditions upon which they are awarded must be objective and transparent.

The grants may be given via financial donation to natural persons (e.g. allowance, scholarship, fellowship) or legal persons (e.g. non-repayable financial assistance to local NGOs), seed money to start-ups or microcredit, or other forms.

Prizes are given on the basis of a contest organised by the beneficiary.

Internally invoiced goods and services

Covers the costs for goods and services that the beneficiary itself produced or provided for the action. They may include, for example, use of specific devices or facilities needed for the action (e.g. clean room, supercomputer facilities), hosting services for visiting Project team members participating in the action (e.g. housing, canteen), standardised testing or research and development processes, etc.

Costs of internally invoiced goods and services must be declared as unit costs, in accordance with usual cost accounting practices.

Indirect eligible costs (i.e. costs that are only indirectly linked to the action, for instance via cost drivers) shall be 25% of the total direct eligible costs, excluding direct eligible costs for subcontracting, financial support to third parties, and any unit costs or lump sums which include indirect costs.

In order to be eligible, costs and contributions must meet the eligibility conditions set out in the AGA.

What not? Support in kind (e.g. transfer of material for free) by the beneficiary to a third party is NOT considered financial support. This cost category can only cover financial support. In contrast, cost for non-financial support or support given in-kind (e.g. vouchers) to third parties must be declared under other categories (e.g. as cost for purchases of vouchers).

The beneficiaries must promote the action and give visibility to the EU funding involved, but must NOT present grants or prizes given by the beneficiary as given by the European Union, EIT or any other granting authority (the beneficiary is providing the financial support on its own responsibility).

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Budget flexibility

The budget breakdown may be adjusted – without an amendment – by transfers (between participants and budget categories), as long as this does not imply any substantive or important change to the IVAP in the Project (Grant) Agreement.

The Project Coordinator must request, through written correspondence (e.g. email) to the KIC Project Officer, approval of adjustments to the agreed budget breakdown.

The Project Officer will analyse the change request and will inform the Project Coordinator (with a maximum delay of 14 days) if the request is approved/declined, or if a formal amendment to the grant agreement is needed.

A budget transfer cannot lead to an increase in the maximum grant amount.

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Reporting obligations

EIT HEI Initiative MEL Framework

The EIT HEI Initiative is committed to assessing its impact and generating learning and lessons from its actions.

The [EIT HEI Monitoring Evaluation and Learning \(MEL\) Framework](#) captures information needed to monitor, evaluate and learn from the Initiative.

The overall aim of the EIT HEI Initiative MEL Framework is to provide a robust and common framework for conducting Monitoring, Evaluation and Learning (MEL) at and between two scales: Projects and Initiative (portfolio) level. The MEL Framework is designed to reflect the two implementation phases of the Initiative. The MEL Framework is set out to provide an overarching vision of the EIT HEI Initiative; support accountability, transparency, and communication to the Initiative's stakeholders; capture lessons learned; and enable knowledge generation and evidence-based decision-making.

Innovation takes place within complex national, international and regional systems. Such complexity presents challenges and the need for continued monitoring and learning. The overall MEL approach adopted by the EIT HEI Initiative is guided by the Regional Innovation Impact Assessment Framework (RIIA), as well as Blue Marble Evaluation, Developmental Evaluation, and Horizon Europe Impact Pathways, and it is nested within a high-level intent set under the EIT Strategic Innovation Agenda and EIT Impact Framework.

The HEI Initiative MEL approach follows a theory-based impact-oriented monitoring and evaluation (M&E) approach to explain how, where, and why projects and the Initiative bring about success (or not) and impact. It combines quantitative and qualitative methods to allow findings to be layered to add depth, nuance, or attribute change as necessary, and draws key principles of developmental evaluation to engage those involved in delivering the programme through sensemaking and learning and external evaluation.

The HEI Initiative Theory of Change articulates the Initiative vision and the building blocks required to achieve its long-term impact. HEI initiative MEL Framework is designed to **track results and generate evidence for learning** at and between two scales: Projects and Initiative (portfolio level).

The EIT HEI Initiative MEL framework complements the quantitative data collected through KPIs with a qualitative assessment through **Most Significant Change** technique and additional qualitative questions.

Sensemaking forms the core link between Project-level evidence generated through impact monitoring, and the evidence learning that is generated at the Initiative level. Sensemaking is central to the delivery of EIT HEI Initiative as a structured approach for linking data analysis, insights, and synthesis to produce intelligence that enables decision-making.

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Overview of the reporting lifecycle

There are two major reporting stages:

1.

'Phase 1 Review,' at the end of Phase 1:

Your Project will be asked to demonstrate successful achievement of Phase 1 KPI targets, as well as submit an online report form via a platform called *Exaptive*, which will collect data on the most significant change so far, an updated IVAP, and a Transferability Plan. This Phase 1 Review is, in fact, a STOP-GO stage in which Projects will be given the green light to move forward to Phase 2 activities.

2.

End-of-Project Review, at the end of the funding period:

This will collect similar data for the second Phase of the Project. It will consist of another online report form via the same *Exaptive* platform, asking for results, an updated IVAP, and Transferability Plan for the post-funding period of the Project, and most significant change triggered by the Project. At this stage, you will also be asked to submit one training handbook with associated materials (for guidance, please see the '[Project Management Resources](#)' tab in the Resource Hub) and to re-take the HEInnovate self-assessment tool. Detailed information on these End-of-Project Review requirements will be shared with Projects in the early stages of Phase 2 of Project implementation.

Alongside this HEI Initiative-level review process, your Project might also need to complete grant/performance reporting at the KIC level (according to the KIC that you were assigned to at the beginning of your Project) in which you report on milestones, deliverables, KPIs and costs for the 2023 activities (at the beginning of 2024) and for the 2024 activities following the end of your funding period. This KIC-level grant/performance reporting will be done via the assigned KIC's performance reporting platform. Information on the processes and timeline for this will be shared at the KIC level via the assigned Project Officer and Operations Department.

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Reporting on Phase 1 of your Project

For your Project to be extended into Phase 2, you must comply with the following:

- Deliver and validate the EIT KPIs described in Section 2.1 of the [Call 3](#)
- Pass the key milestones in the multi-annual HEI Transferability Plan in Phase 1, to achieve institutional change in Phase 2
- Submit an 'Updated IVAP: Project Progress'
- Complete Impact Monitoring (Most Significant Change reporting)

All of this will be collected via the online Phase 1 Review report form, submitted via the *Exaptive* platform.

Phase 1 Review: general information and timeline

The Phase 1 Review is where Project Coordinators present the state-of-play of EIT KPI achievement in Phase 1 to their EIT KICs (Education Leadership and Project Officer).

The first step in the Phase 1 Review is a presentation in early December to KIC Project Officers. Following that, Projects will be required to perform KPI reporting and complete an online 'Phase 1 Review Report', which will incorporate the submission of an updated IVAP, a Transferability Plan, and Most Significant Change reporting.

You will be asked to submit all relevant supporting evidence by **15 December 2023**, when the first submission of the Phase 1 Review Report is due.

It is vital that KPIs are met according to the targets outlined in your proposal. Failure to do this will result in your Project not progressing to Phase 2.

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Please find below an overview of the process and timeline for the **Phase 1 Review**:

- Project continuous reporting: Project milestones and deliverables should be reported at the KIC level within the assigned KIC's performance reporting platform.

This will take place continuously from May 2023 – December 2023

- Projects present an overview of their Phase 1 progress to their Project Officer, as well as to the HEI Initiative Programme Coordinator, in early December 2023. Any major issues with the Project will be flagged and discussed at this stage.

This will take place in early December, across the week 4 – 8 December 2023

- Projects will submit the first draft of the online Phase 1 Review Report, completed through Exaptive. This online report will include questions on the above-mentioned Most Significant Change, updated IVAP and Transferability Plan, as well as request all structured data and any supporting evidence required to prove the successful completion of KPI targets. The template for the submission of KPI data can be found in the Resource Hub, [here](#).

The deadline for first draft submission of the Phase 1 Review online report is 15 December 2023

- A quality check will be performed by the Project's assigned Project Officer and feedback will be shared with Project Coordinators.

The quality check will take place from 18 December 2023 – 10 January 2024, with feedback shared by 10 January 2024

- If applicable, Project Coordinators will then incorporate this feedback and submit a second and final draft of the online report.

The due date for the final draft is 17 January 2024

- The Project Officers will then perform a final validation of the submitted data, leading to the approval of the Phase 1 Review Report.

This will take place from 18 – 24 January 2024

- The HEI Coordination Team will then compile the STOP/GO status of all Cohort 3 Projects and communicate the results with the Project Officers, who will share the results with the Project Coordinators. For Projects that pass to Phase 2, the costs can be charged retroactively (i.e. costs will be eligible from 1 January 2024).

The STOP/GO decision will be communicated to the Projects by 31 January 2024

- The HEI Coordination Team will then submit a Phase 1 Review Report to the EIT.

The deadline for this is 31 January 2024.

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'Updated IVAP: Project Progress'

Submitting data for the 'Updated IVAP: Project Progress' involves describing how your Project has changed or benefited from activities and interactions with the HEI Initiative (such as the IVAP Development Workshop or the Co-Creation Sessions) or your KIC.

This could include feedback from other Projects, inspiration taken from a HEI Initiative speaker, lessons learned from previous KIC projects, or resources and guidance provided by your Project Officer, for example.

You will also be asked to indicate how these changes have or will impact the implementation of your Project (both quantitatively and qualitatively).

HEI Transferability Plan

To complete a Transferability Plan for Phase 1, you will need to refer to the milestones listed in your original proposal/IVAP and indicate whether they have been achieved or not (and if so, when).

Your Transferability Plan should demonstrate how the selected actions will be transferred and scaled within the institution during and after the HEI Project funding period. It must distinguish between Phase 1 and Phase 2, and outline a detailed plan for further institutionalisation of the IVAP beyond the HEI Project funding period toward 2030.

Impact Monitoring – Most Significant Change reporting

Impact Monitoring enables you to contextualise and qualify the data reported through KPIs, and unpack how, where and why change is happening (or not), and for whom the Project is contributing to change.

With this approach, the Initiative aims to uncover effects (positive and negative) not detected by quantitative data, and intangible aspects of the HEI, such as relationship building, changes in attitude, behaviour, processes and entrepreneurship culture.

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The HEI Initiative Call for Proposals envisaged five domains:

- **Domain 1:** Fostering institutional engagement and change
- **Domain 2:** Strengthening partnerships (KTI)
- **Domain 3:** Contributing to the development of innovations and businesses
- **Domain 4:** Enhancing the quality of innovation and entrepreneurial education
- **Domain 5:** Knowledge sharing

Find out more about the approach of the EIT HEI Initiative MEL Framework and Most Significant Change Reporting [here](#).

KIC-level Grant/Performance Reporting

Alongside the HEI Initiative-level review process, your Project will also need to complete grant/performance reporting at the KIC level (according to the KIC that you were assigned at the beginning of the action) in which you report on milestones, deliverables, KPIs and costs for the 2023 activities (at the beginning of 2024), and for the 2024 activities following the end of your funding period. This KIC-level performance reporting will be done via the assigned KIC's performance reporting platform. Information on the processes and timeline for this will be shared at the KIC level via the assigned Project Officer and Operations Department.

The purpose of KIC-level grant/performance reporting is to demonstrate to EIT that your Project has been implemented according to the corresponding Business Plan and budget. It acts as a comprehensive description of the implementation of a portfolio of KIC activities for a calendar year, focusing on any deviations from plans, and ensuring clear implementation of the performance and financial elements of your Project.

HEI Project Coordinators coordinate with the consortium to ensure that Grant/Performance Reporting is submitted accordingly.

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Reporting on Phase 2 of your Project

End-of-Project Review

The End-of-Project Review will look at the final performance of the Project, KPIs, milestones and deliverables. The overall impact and lessons learned from the Project will also be reviewed, and EIT Grant/Performance Reporting will be required.

Throughout your Project, you will need to document changes in organisational processes, decision-making, infrastructure, strategies, and human resources which enable and support innovation and entrepreneurial education. This could be addition of innovation and entrepreneurial training to a curriculum, for example, or a high-level strategy developed by HEI management and stakeholders to increase innovative and entrepreneurial capacity at an institutional level.

As mentioned earlier in this section, at this final formal review stage, Projects will also be asked to submit one training handbook with associated materials (using [this template](#)) for one of the training sessions they have delivered as part of the HEI Initiative-funded activities, and to re-take the HEInnovate self-assessment tool. Detailed information on these End-of-Project Review requirements and the associated timeline will be shared with Projects in the early stages of Phase 2.

Timeline for End-of-Project Review:

- Project continuous reporting will take place in January – July 2024. Project milestones and deliverables for Phase 2 should be reported at the KIC level within the assigned KIC's performance reporting platform.
- Final submission of the End-of-Project Review online report will be due in September 2024. More detailed information on this process and the associated timeline will be shared with Projects near the beginning of Phase 2 activities.
- Projects will be asked to re-take and submit the full results of the HEInnovate self-assessment tool by September 2024.
- Projects will be asked to submit the completed training handbook and associated material template by September 2024.

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KIC-level Grant/Performance Reporting

Similar to Phase 1 reporting, KIC-level Grant/Performance Reporting is due to take place at the end of the Project funding period following 2024 activities, and is coordinated by your respective EIT KIC. It is a formal reporting requirement of your assigned KIC.

You will be required to submit deliverables, KPIs and outputs with supporting evidence in the project management system of your assigned KIC. Project Officers will provide support with this.

A deeper dive into EIT KPI and Core KPI reporting

The EIT KPIs are described in Section 2.1 of the [Call 3 text](#). Their purpose is to demonstrate to EIT that the cross-cutting performance and output metrics used to measure the performance of all EIT KICs are being achieved.

Each Project has set its own specific KPI targets for Phase 1 (compliant with the minimum KPI obligations outlined in [the Call 3 text](#)), and the successful achievement of these is needed to move forward into Phase 2 of the Project lifecycle. Failure to do so means the Project will be stopped after its Phase 1 activities.

Similarly, as outlined in the Project's IVAP, there are specific (and higher) KPI obligations for Phase 2 of the Project (1 January 2024 – 31 July 2024) for which each Project has set its own specific targets, and the successful achievement of these is key to the successful completion of the HEI Initiative Project.

KPI results will be collected both at the centralised HEI Initiative level, and at the KIC level, as described earlier in this section.

To understand the structured data and supporting evidence requirements needed in order to claim the achievement of a specific KPI, please always refer to the [EIT Impact Framework](#), which outlines these criteria.

Below you can find an overview of the EIT KPI and Core KPIs that are required from EIT HEI Initiative Projects (as outlined in the Call 3 text).

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EIT KPI	Sub-KPI specific to HEI Initiative	Description	Supporting structured data
# start-ups/scale-ups supported		<ul style="list-style-type: none"> Start-ups and scale-ups supported for at least two months in year N, provided the support contributes to the company's growth (including potential growth). Examples of such services are mentoring, consultancy on access to finance and markets, and product/service marketing. 	<p>For all KPIs: Please find guidelines on the required structured data for reporting here.</p>
# participants trained, with a view to innovation and entrepreneurship	# students trained	<ul style="list-style-type: none"> Participants in EIT courses, online training courses and other education/training activities delivered. 	
	# academic staff members trained	<ul style="list-style-type: none"> Only participants who successfully finish an education or training programme can be counted. 	
	# non-academic staff (e.g. professional staff, support staff) trained	<ul style="list-style-type: none"> Must have clearly defined learning outcomes and carry out competency assessment methods, and comply with the structured data requirements outlined in the EIT Impact Framework. 	
	# students / academic staff / non-academic staff mentored	<ul style="list-style-type: none"> Participants in EIT courses who receive more intensified mentoring and support (Note: Participants mentored must have been previously trained). 	
# new partnerships		<ul style="list-style-type: none"> Number of new partnerships established as a result of the HEI Capacity Building Initiative. 	
# of new and/or improved support structures and mechanisms		<ul style="list-style-type: none"> Number of new and/or improved support structures and mechanisms (e.g. testbeds, units, programmes, spaces, infrastructures, etc.) established within or mobilised by the HEIs participating in the HEI Capacity Building Initiative. 	
# of EIT Core KPI		<ul style="list-style-type: none"> EIT Core KPI selected from three specified possibilities in the Call text (pp.12-13). 	<p>Target must follow the target outlined in the Project IVAP and comply with the EIT Impact Framework. Projects should achieve this Core KPI within the planned timeframe, as per their IVAP.</p>

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Project communication and
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Project communication and dissemination

Communication, dissemination and exploitation of results

Communication, dissemination and exploitation of results are important parts of an EIT HEI Initiative Project, as its aims, objectives and results should be widely spread to both the Higher Education community, and all other identified stakeholders.

Dissemination should be an active process in which tailor-made information is actively imparted to the appropriate audience. Critically, it should involve the conversion of the information into multiple forms so that the most appropriate and easily understood message is conveyed to each individual stakeholder.

Objectives:

- Communicate information to the public about the EIT HEI Initiative Project and its implementation status
- Coordinate communication between consortium members and the public through dedicated Project website/webpage and social media platforms
- Coordinate communication activities with other relevant stakeholder networks
- Disseminate the results of the Project to target audiences and key stakeholders

For more explanations on communication, dissemination and exploitation of results, please see [here](#).

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Project communication and dissemination

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Branding your Project

To help you get started with creating Project communication materials, you can find branded templates and graphic elements on [the Resource Hub](#). Using the correct branding and acknowledging the EU funding is mandatory: failure to do this can be considered as breach of obligation and can lead to budget cuts.

You can communicate important Project news, developments or events through the '[Submit good practices, news and events](#)' tab in the Resource Hub. The HEI Initiative Coordination Team will then review these and arrange for them to appear within the Resource Hub or the EIT HEI Initiative News or Events pages.

EIT HEI Initiative Visual Style Guide

[The HEI Initiative Visual Style Guide](#) provides detailed guidelines on how to correctly apply the EIT HEI Initiative visual identity, including:

- Logo usage and placement;
- Social media branding;
- EU logo use and funding acknowledgement;
- EIT HEI Initiative partner watermarks;
- Image use;
- Colour;
- Typography.



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Resources

Helping you identify the resources you need at a glance

The Handbook aims to signpost you to the templates and resources you need at each Project phase. These are hosted on the [EIT Resource Hub](#). For more general information about the Initiative and the Projects, head to the EIT HEI Initiative website, eit-hei.eu.

The Resource Hub

[The Resource Hub](#) works in tandem with the Handbook, and all templates referred to here can be accessed on it. It is therefore essential that you create an account in order to benefit from this.

To create a profile for your account, you must select the most appropriate out of two options for 'User type':

- HEI Project Partner;
- EIT or EIT KIC Staff.

If you are a HEI Project Partner, you will also be asked which HEI Project you belong to. Once you have submitted this information for the account, an administrator will review and approve it.

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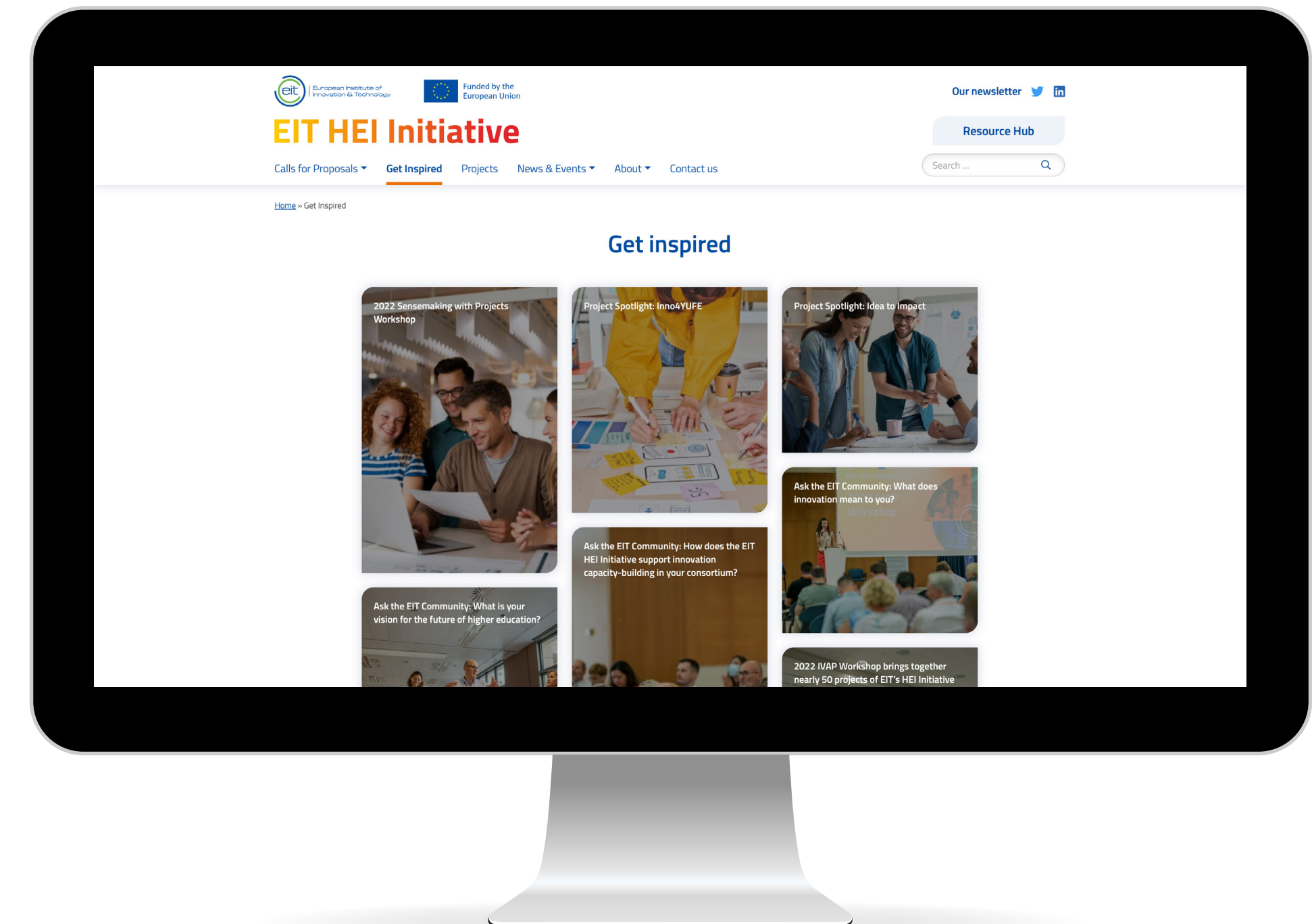
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The [EIT HEI Initiative website](#) is publicly available, and hosts easy-to-understand information about the EIT HEI Initiative and the Projects, including:

- Calls for proposals;
- A '[Get Inspired](#)' page that showcases the impact of the Initiative so far;
- Projects funded under the Initiative;
- Events linked to the Initiative;
- News from the HEI Initiative community;
- An 'About' page that explains general information about EIT, the EIT HEI Initiative, the team of the HEI Initiative and what is being offered as part of the HEI Initiative;
- A contact form for the submission of queries.

On [this page](#), you can find information on all the Projects funded through the EIT HEI Initiative, such as the consortium composition, Project description, which KIC the Project is assigned to, the Project timeline, and funding information.



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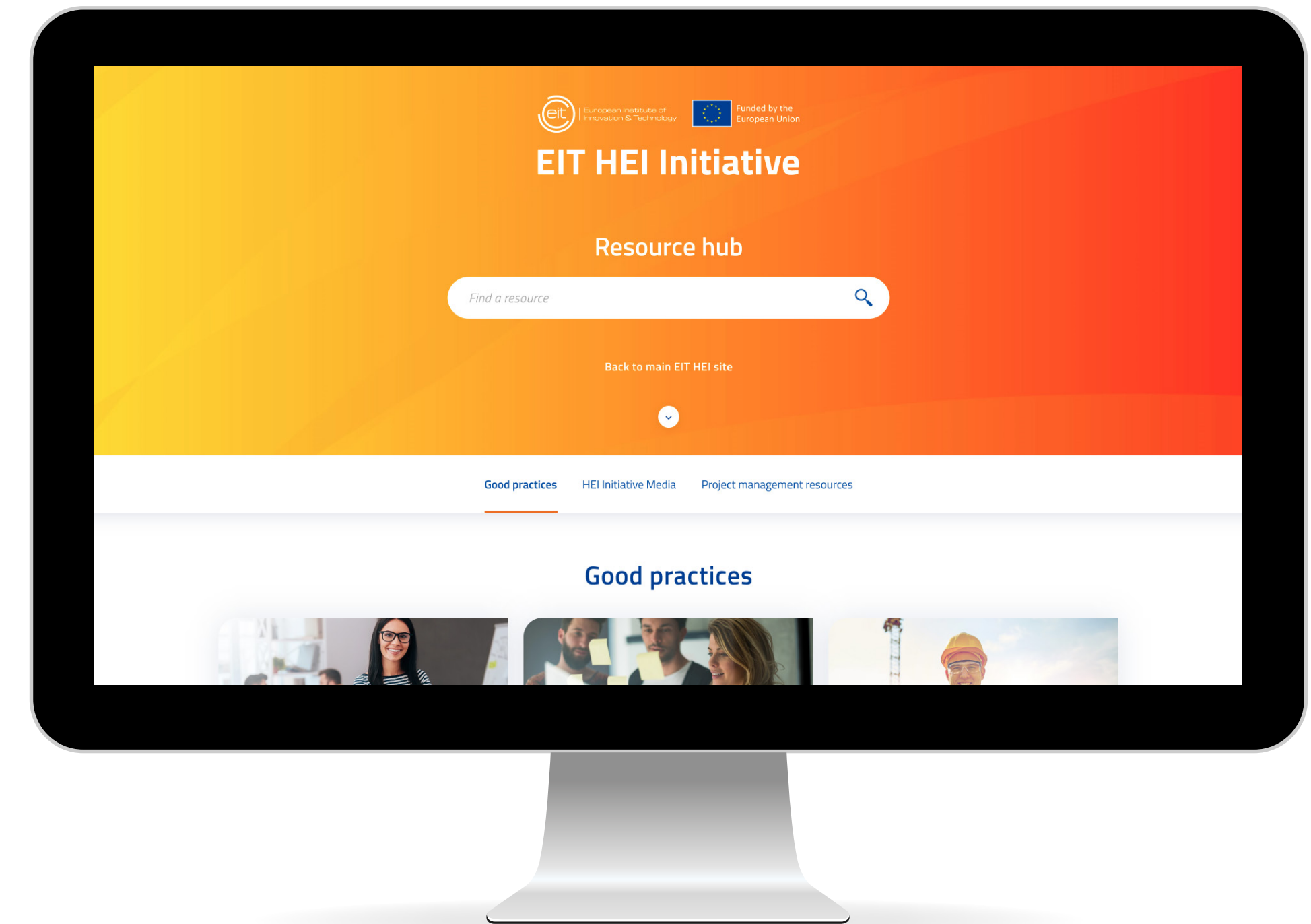
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Features of the Resource Hub

The [HEI Initiative Resource Hub](#) allows you to easily access and consult good practices employed by different KICs and HEI Projects in relation to the five different Domains outlined in [the Call](#).

It acts as a central repository for experiences and good practices, guidelines for re(use) of programmes and activities, templates, and video recordings from events, as well as other media.

The Resource Hub is constantly updated and enriched with new examples from successful Projects, and provides a meeting place for you to interact with KICs and Projects, including via interactive features (comments, likes, Project participant profiles, etc.).



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Submit a good practice

The good practices page hosts a collection of cases, success stories, good practices, news, and events that aim to inform and inspire HEI Project Partners.

Projects can submit good practices or success stories, news items or events to the Resource Hub via these dedicated forms:

- [Submit a good practice](#)
- [Submit news articles to the EIT HEI Initiative](#)
- [Submit an event to the EIT HEI Initiative](#)

If you would like your good practice submission to the Resource Hub to be considered for inclusion on the [Get Inspired](#) page of the EIT HEI Initiative website, please indicate this via the relevant checkbox during submission.

Your submission will be sent to a task team of HEI Initiative Project management members for approval, and they will provide comments and suggestions for improvement within ten working days.

After you receive this feedback, you will be given ten working days to implement it and improve your submission so that it can be uploaded to the Resource Hub.

Resources

The Resource Hub lets you access [resources from events](#) organised as part of the HEI Initiative, such as Co-Creation Workshops, KIC Showcase events, or Sensemaking Workshops. Specific HEI-branded templates for deliverables, PowerPoint slides, as well as guidelines for branding and dissemination of HEI Projects are also available on the Resource Hub.

Exchange ideas

The Resource Hub gives you the opportunity to comment on good practices and interact with members of other HEI Projects. There is also a HEI Project-specific [newsletter](#).

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09 EIT KIC Startup Programmes Mapping

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KIC, EIT Community and EU Programmes for startup support activities

What is the field of your startup?

* Last updated version: July 2024.

To see the opportunities for each KIC, please click on each KIC box.

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10 Accessing post-HEI funding

Accessing post-HEI funding

In order to access post-HEI funding, consider the way in which your Project supports the EU's 2030 Vision for institutional change (as set out in your IVAP), and look into potential funding programmes that align with this.

National Contact Points (NCPs) may also be useful in directing you towards funding opportunities.

Please see below a list (non-exhaustive) of suggested post-HEI funding opportunities.

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10 Accessing post-HEI funding

	Domain 1 Fostering institutional engagement and change	Domain 2 Strengthening partnerships (knowledge triangle integration)	Domain 3 Contributing to developing innovations and businesses	Domain 4 Enhancing the quality of innovation and entrepreneurial education	Domain 5 Knowledge sharing and entrepreneurial education
EIT HEI Call 4	<p>EIT HEI Call 4 (to be confirmed) ↗</p> <p>Programme: EIT HEI Capacity Building Initiative</p> <p>Focus: Supporting HEIs to strengthen their innovation and entrepreneurial capacity, with a focus on deep tech talents.</p> <p>Deadline: Submissions are not yet open.</p>				
ERASMUS+	<p>European Universities Initiative ↗</p> <p>Type of action: ERASMUS-LS ERASMUS Lump Sum Grants</p> <p>Focus: Supporting applicants wishing to establish new deep institutional transnational cooperation in a new 'European Universities' alliance.</p> <p>Deadline: No submission system is open yet for this topic in 2024.</p>				
	<p>Alliances for Innovation Lot 1 (Alliances for Education and Enterprises) ↗</p> <p>Type of action: ERASMUS-LS ERASMUS Lump Sum Grants</p> <p>Focus: Boosting innovation through cooperation and flow of knowledge among higher education, vocational education and training, and the broader socio-economic environment, including research.</p> <p>Deadline: No submission system is open yet for this topic in 2024.</p>				
	<p>Alliances for Innovation Lot 2 (Alliances for Sectoral Cooperation on Skills – implementing the 'Blueprint') ↗</p> <p>Type of action: ERASMUS-LS ERASMUS Lump Sum Grants</p> <p>Focus: Boosting innovation through cooperation and flow of knowledge for concrete skills development solutions – both in the short and medium term – in given economic sectors.</p> <p>Deadline: No submission system is yet open for this topic in 2024.</p>				
	<p>Capacity building (higher education) (CBHI) ↗</p> <p>Type of action: ERASMUS-LS ERASMUS Lump Sum Grants</p> <p>Focus: Supporting the relevance, quality, modernisation and responsiveness of higher education in third countries not associated to the Erasmus+ programme for socio-economic recovery, growth and prosperity</p> <p>Deadline: No submission system is yet open for this topic in 2024.</p>				
	<p>Capacity building in the field of Vocational Education and Training (VET) ↗</p> <p>Type of action: ERASMUS-LS ERASMUS Lump Sum Grants</p> <p>Focus: Supporting the relevance, accessibility, and responsiveness of VET institutions and systems in third countries not associated to the programme as a driver of sustainable socio-economic development.</p> <p>Deadline: No submission system is yet open for this topic in 2024.</p>				

	Domain 1 Fostering institutional engagement and change	Domain 2 Strengthening partnerships (knowledge triangle integration)	Domain 3 Contributing to developing innovations and businesses	Domain 4 Enhancing the quality of innovation and entrepreneurial education	Domain 5 Knowledge sharing
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05	Horizon Europe WIDERA	HORIZON-WIDERA-2023-ACCESS-07: Excellence Hubs ↗ Type of action: Coordination and Support Action (CSA) Focus: Strengthening regional innovation excellence in place-based innovation ecosystems through cross-border collaboration on a common strategy and/or value-adding chains. Deadline: 7 March 2024, 17:00 Brussels time			
06		HORIZON-WIDERA-2024-ERA-01-06: European Excellence Initiative: Acceleration services in support of universities ↗ Type of action: Coordination and Support Action (CSA) Focus: Acceleration services supporting the institutional transformation of higher education institutions, including coaching services, expertise, (virtual) meeting platforms or tools, and seed funding at any stage of development of institutional change, and enabling connection of higher education institutions with peers and other ecosystem actors. Deadline: 12 March 2024, 17:00 Brussels time			
07	Horizon Europe European Innovation Ecosystems (EIE)	HORIZON-EIE-2024-CONNECT-01-03: Startup Europe ↗ Type of action: CSA Focus: Start-ups that have either already achieved market-product fit, or have raised at least a round of financing (seed or later), increasing the market footprint of European start-ups in strategic digital technologies and deep tech. Deadline: 25 April 2024, 17:00 Brussels time			
08		HORIZON-EIE-2024-CONNECT-02-01: Expanding Academia-Enterprise Collaborations ↗ Type of action: Coordination and Support Actions (CSA) Focus: Improved integration of research institutions, Higher Education Institutions, vocational schools, and similar organisations into Europe's innovation ecosystems by establishing better links with start-ups and startup networks, accelerators and incubators, business angels and investor communities. Deadline: 19 September 2024 17:00 Brussels time			
09					
10	EIT Programmes	EIT Business Creation and Education Programmes at Knowledge and Innovation Community (KIC) level (Please contact your Project Officer at your KIC for more information). Some of these programmes will be highlighted at the KIC Showcase in December 2023 and 2024.			

10 Accessing post-HEI funding

EIT HEI Initiative

Innovation Capacity Building for Higher Education



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